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FORMALITIES LETTER



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UNITED STATES DEPARTMENT OF
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
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09/553,423

04/19/2000

STUART A FRASER

CF/002

1473
 FISH & NEAVE
 1251 AVENUE OF THE AMERICAS
 50TH FLOOR
 NEW YORK, NY 10020



Date Mailed: 05/24/2000

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 130.**

A copy of this notice MUST be returned with the reply.

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

08/31/2000 BHABTEW 00000010 09553423

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PATENTS
CF/002

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patent Application

Applicants : Stuart A. Fraser, et al.

Application No.: 09/553,423

Filed : April 19, 2000

For : SYSTEMS AND METHODS FOR TRADING

Group Art Unit : 2768

New York, New York 10020
August 24, 2000

Assistant Commissioner
for Patents
Washington, D.C. 20231

Attention: Box Missing Parts

RESPONSE TO NOTICE TO FILE MISSING PARTS

Sir:

Responsive to the Notice to File Missing Parts of Application mailed May 24, 2000, applicants hereby submit the following:

1. A copy of the May 24, 2000 Notice to File Missing Parts of Application;
2. Executed Declaration and Power of Attorney;
3. Petition Under 37 CFR 1.136(a) for one-month extension of time;
4. Two (2) checks in the amounts of (i) \$130.00 in payment of the surcharge; and (ii) \$110.00 for one-month extension of time.

Please credit any overpayment or charge any deficiencies in connection with this Reply to Deposit

Account No. 06-1075. A duplicate copy of this paper is enclosed.

Respectfully submitted,



Matthew T. Byrne
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I Hereby Certify that this
Correspondence is being
Deposited with the U.S.
Postal Service as First
Class Mail in an Envelope
Addressed to: ASSISTANT
COMMISSIONER FOR
PATENTS
WASHINGTON, D.C. 20231 on

August 24, 2000
Lori N. Scott
Lori N. Scott
Signature of Person Signing